

## **CATEGORICAL EXCLUSION and DOCUMENTED CATEGORICAL EXCLUSION WORKSHEET**

**Note:** The purpose of this worksheet is to assist sponsoring agencies in gathering and organizing materials for environmental analysis required under the National Environmental Policy Act (NEPA), particularly for projects that may qualify as a documented Categorical Exclusion (DCE).

Submission of the worksheet by itself does not meet NEPA requirements. FTA must concur in writing in the sponsoring agency's NEPA recommendation. Project activities may not begin until this process is complete. Contact the FTA Region 10 office at (206) 220-7954 if you have any questions or require assistance. If this is the first time you have filled out this form, FTA encourages you to contact us for guidance. Attached to this document is a list of topical resource information.

### **I. PROJECT DESCRIPTION**

Sponsoring Agency	Date Submitted	FTA Grant Number(s) (if known)
Project Title		
Project Description (brief, 1-2 sentences)		
Purpose and Need for Project (brief, 1-2 sentences, include as an attachment if adopted statement is lengthy)		
Project Location (include City and Street address)		
Project Contact (include phone number and email address)		
If your project involves construction, include the following maps: <ul style="list-style-type: none"><li>• Project Vicinity</li><li>• Project Site Plan</li><li>• USGS quad</li></ul>		

## **II. NEPA Class of Action**

Answer the following questions to determine the project's potential class of action. If the answer to any of the questions in Sections A or B is "YES", contact the FTA Regional office to determine whether the project requires preparation of a NEPA environmental assessment (EA).

### **A. Will the project significantly impact the natural, social and/or economic environment?**

- ☐ YES (contact FTA Regional office)  
☐ NO (continue)

### **B.1 Is the significance of the project's social, economic or environmental impacts unknown?**

- ☐ YES (contact FTA Regional office)  
☐ NO (continue)

### **B.2 Is the project likely to require detailed evaluation of more than a few potential impacts?**

- ☐ YES (contact FTA Regional office)  
☐ NO (continue)

### **B.3 Is the project likely to generate intense public discussion, concern or controversy, even though it may be limited to a relatively small subset of the community?**

- ☐ YES (contact FTA Regional office)  
☐ NO (continue)

### **C. Does the project appear on the following list of potential Categorical Exclusions (CEs)?**

The projects listed below are generally categorically excluded from further NEPA analysis under 23 CFR 771.117(c) unless certain circumstances exist, such as the presence of wetlands, historic buildings and structures, parklands and floodplains in the project area.

- ☐ YES (If checked AND there are no special circumstances, as described above, mark the applicable activity and proceed to the signature block on the back page.)  
☐ NO (continue to Section D)

- ☐ Activities not involving or directly leading to construction (technical studies, planning, preliminary engineering, etc.)
- ☐ Utility installations along or across a transit facility
- ☐ Construction of bicycle and pedestrian facilities, excluding those requiring construction in new right-of-way
- ☐ Installation of noise barriers or alterations to existing publicly-owned buildings to provide for noise reduction

<input type="checkbox"/>	Landscaping
<input type="checkbox"/>	Installation of fencing, signs, pavement markings, toll facilities, control centers, vehicle test centers, small passenger shelters, traffic signals, railroad warning devices, and signal controls with no substantial land acquisition or traffic disruption
<input type="checkbox"/>	Emergency repairs under 23 USC 125
<input type="checkbox"/>	Acquisition of scenic easements
<input type="checkbox"/>	Ridesharing activities
<input type="checkbox"/>	Bus, ferry, and rail car rehabilitation (including conversions to alternative fuels)
<input type="checkbox"/>	Alterations to facilities or vehicles to make them accessible to elderly or handicapped persons
<input type="checkbox"/>	Program administration (including safety programs), technical assistance, and operating assistance to continue existing service or increase service to meet routine changes in demand
<input type="checkbox"/>	Purchase and lease of vehicles and equipment for use on existing facilities or new facilities that also qualify as CEs (including the capital cost of contracts for transit services)
<input type="checkbox"/>	Track, railbed, and wayside system maintenance and improvements when carried out in existing right-of-way
<input type="checkbox"/>	Purchase and installation of operating, maintenance and Intelligent Transportation Systems (ITS) equipment to be located solely within the transit facility and with no significant off-site impacts
<input type="checkbox"/>	Mitigation banking
<input type="checkbox"/>	Resurfacing and restriping
<input type="checkbox"/>	Routine maintenance

<b>D.</b>	<p><b>Does the project appear on the following list of potential documented Categorical Exclusions?</b></p> <p>These projects may be categorical exclusions under 23 CFR § 771.177(d), but require additional documentation demonstrating that the specific conditions or criteria for the CEs are satisfied and that significant effects will not result.</p> <p><input type="checkbox"/> YES (Check and continue to Part III)</p> <p><input type="checkbox"/> NO (Contact FTA Regional Office)</p>
<input type="checkbox"/>	Grade separations requiring land acquisition to replace existing at-grade railroad crossings and bridge rehabilitation (including approaches to bridges and excluding historic bridges or bridges providing access to ecologically sensitive areas)
<input type="checkbox"/>	Corridor Fringe Parking facilities (generally located adjacent to a mass transportation corridor such as an Interstate highway system)
<input type="checkbox"/>	Carpool programs and activities requiring land acquisition and construction

<input type="checkbox"/>	Safety improvements including seismic retrofit and mitigation of wildlife hazards
<input type="checkbox"/>	Construction of new bus storage and maintenance facilities and new ITS control centers in areas used predominantly for industrial or transportation purposes where such construction is consistent with existing zoning and located on a street with adequate capacity to handle anticipated traffic
<input type="checkbox"/>	Rehabilitation or reconstruction of existing rail and bus buildings and ancillary facilities where only minor amounts of additional land are required and there is not a substantial increase in the number of users
<input type="checkbox"/>	Construction of bus transfer facilities (an open area consisting of passenger shelters, boarding areas, kiosks, and related street improvements) when located in a commercial area or other high activity center in which there is adequate street capacity for projected bus traffic
<input type="checkbox"/>	Construction of rail storage and maintenance facilities (or other similarly sized support facilities) in areas used predominantly for industrial or transportation purposes where such construction is consistent with existing zoning and where there is no significant noise impact on the surrounding community
<input type="checkbox"/>	Area-wide coordination of multiple ITS elements
<input type="checkbox"/>	Advance land acquisition including: <ul style="list-style-type: none"> <li>• Acquisition of underutilized private railroad rights-of-way (ROW) to ensure that adjacent land uses remain generally compatible with the continued transportation use of the ROW</li> <li>• Acquisition of land for hardship or protective purposes, consistent with 23 CFR 771.117 (D)(12)</li> </ul>
<p><b><i>(Note: the eligibility of hardship and protective buys is very limited and must be approved, in writing, by the Regional FTA office before proceeding with any acquisition activities. Failure to do so will render the project ineligible for Federal participation.)</i></b></p>	

### III. Information Required for Documented Categorical Exclusions

If you checked "Yes" to any of the options in Part II, Section D, complete Part III and submit to FTA.

<b>A.</b>	<b>Detailed Project Description</b> Include a project description and explain how the proposal satisfies the purpose and need identified in Part I.
<b>B.</b>	<b>Location and Zoning</b> Attach a map identifying the project's location and surrounding land uses. Note any critical resource areas (historic, cultural or environmental) or sensitive noise or vibration receptors (schools, hospitals, churches, residences, etc). Briefly describe the existing zoning of the project area and indicate whether the proposed project is consistent. Include a description of the community (geographic, demographic, economic and population characteristics) in the vicinity of the project.

**C. Traffic**  
Describe potential traffic and parking impacts, including whether the existing roadways have adequate capacity to handle increased bus or other vehicular traffic. Include a map or diagram if the project will modify existing roadway configurations. Describe connectivity to other transportation facilities and modes.

**D. Aesthetics**  
Will the project have an adverse effect on a scenic vista?  
☐ No  
☐ Yes, describe

Will the project substantially degrade the existing visual character or quality of the site and its surroundings?  
☐ No  
☐ Yes, describe

Will the project create a new source of substantial light or glare which would adversely affect day or nighttime views in the area?  
☐ No  
☐ Yes, describe

**E. Air Quality**  
Does the project have the potential to impact air quality?  
☐ NO  
☐ YES, describe

Is the project located in an Environmental Protection Agency (EPA)-designated non-attainment or maintenance area?  
☐ NO  
☐ YES, indicate the criteria pollutant and contact FTA to determine if a hot spot analysis is necessary.

☐ Carbon Monoxide (CO)  
☐ Ozone (O<sub>3</sub>)  
☐ Particulate Matter (PM<sub>10</sub>)

If the non-attainment area is also in a metropolitan area, was the project included in the MPO's Transportation Improvement Program (TIP) air quality conformity analysis?  
☐ NO  
☐ YES  
Date of USDOT conformity finding

**F. Coastal Zone**  
Is the proposed project located in a designated coastal zone management area?  
☐ No  
☐ Yes, describe coordination with the State regarding consistency with the coastal zone management plan and attach the State finding, if available.

**G. Environmental Justice**

Indicate whether the project will have disproportionately high and adverse impacts on minority or low-income populations. Describe any potential adverse effects. Describe outreach efforts targeted specifically at minority or low-income populations.

**H. Floodplains**

Is the proposed project located within the Federal Emergency Management Agency (FEMA) 100-year floodplain?

☐ No

☐ Yes, describe potential impacts and include the FEMA map with the project location identified.

**I. Hazardous Materials**

Is there any known or potential contamination at the project site?

☐ No, describe the steps taken to determine whether hazardous materials are present on the site.

☐ Yes, note mitigation and clean-up measures that will be taken to remove hazardous materials from the project site.

**J. Navigable Waterways**

Does the proposed project cross or have the potential to impact a navigable waterway?

☐ No

☐ Yes, describe potential impacts and any coordination with the US Coast Guard.

**K. Noise and vibration**

Does the project have the potential to increase noise or vibration?

☐ NO

☐ YES, describe impact and provide map identifying sensitive receptors such as schools, hospitals, parks and residences. If the project will result in a change in noise and vibration sources, you must use FTA's "Transit Noise and Vibration Impact Assessment" methodology to determine impact.

**L. Prime and Unique Farmlands**

Does the proposal involve the use of any prime or unique farmlands?

☐ No

☐ Yes, describe potential impacts and any coordination with the Soil Conservation Service of the U.S. Department of Agriculture.

**M. Resources**

Does the project have the potential to impact any of the resources listed below?

☐ NO

☐ YES, if checked, describe resource and impacts. Impacts to cultural, historic, or recreational properties may trigger Section 4(f) evaluation, which requires consideration of avoidance alternatives.

☐ Natural

☐ Cultural

☐ Historic—Indicate whether there are any historic resources in the vicinity of the project. Attach photos of structures more than 45 years old that are within or adjacent to the project site.

☐ Recreational

☐ Biological--The project sponsor must obtain a list of threatened and endangered species in the project area from the US Fish and Wildlife Service (USFWS) and the National Oceanic and Atmospheric Administration-Fisheries (NOAA-Fisheries). Attach species map, if available. Describe any critical habitat, essential fish habitat or other ecologically sensitive areas. See appendix for more information.

☐ Other, describe

**N. Seismic**

Are there any unusual seismic conditions in the project vicinity? If so, indicate on project map and describe the seismic standards to which the project will be designed.

☐ No

☐ Yes, describe

**O. Water Quality**

Does the project have the potential to impact water quality, including during construction.

☐ No

☐ Yes, describe potential impacts

Will there be an increase in new impervious surface or restored pervious surface?

☐ No

☐ Yes, describe potential impacts and proposed treatment for stormwater runoff.

Is the project located in the vicinity of an EPA-designated sole source aquifer?

☐ No

☐ Yes, describe potential impacts and include a map of the sole source aquifer with project location identified.

**P. Wetlands**

Does the proposal temporarily or permanently impact wetlands or require alterations to streams or waterways?

- ☐ No  
☐ Yes, describe potential impacts

**Q. Construction Impacts**

Describe the construction plan and identify impacts due to construction noise, utility disruption, debris and spoil disposal, and staging areas. Address air and water quality impacts, safety and security issues, and disruptions to traffic and access to property.

**R. Cumulative and Indirect Impacts**

Are cumulative and indirect impacts likely?

- ☐ No  
☐ Yes, describe the reasonably foreseeable:

a) Cumulative Impacts, which results from the incremental impact of the action when added to other past, present, and reasonably foreseeable future actions regardless of what agency (Federal or non-Federal) or person undertakes such other actions. Cumulative impacts can result from individually minor but collectively significant actions taking place over a period of time.

b) Indirect impacts, which are caused by the action and are later in time or farther removed in distance, but are still reasonably foreseeable. Indirect impacts may include growth inducing effects and other effects related to induced changes in the pattern of land use, population density or growth rate, and related effects on air, water and other natural systems, including ecosystems.

**S. Property Acquisition**

If property is to be acquired for the project, indicate whether acquisition will result in relocation of businesses or individuals.

**Note:** To ensure the eligibility for federal participation, grantees may not acquire property with either local or federal funds prior to completing the NEPA process and receiving written concurrence in the NEPA recommendation. For acquisitions over \$250,000, FTA concurrence in the property's valuation is also required.

**T. Public Notification**

Describe public outreach efforts undertaken on behalf of the project. Indicate opportunities for public hearings, (e.g. board meetings, open houses, special hearings). Indicate any significant concerns expressed by agencies or the public regarding the project.

**U. Mitigation Measures**

Describe all measures to be taken to mitigate project impacts.

**V. Other Federal Actions**

Provide a list of other federal NEPA actions related to the proposed project or in the vicinity.



**W. State and Local Policies and Ordinances**

Is the project in compliance with all applicable state and local policies and ordinances?

☐ No, describe

☐ Yes

**X. Related Federal and State/Local Actions**

- ☐ Corps of Engineers (Section 10, Section 404)
- ☐ Coast Guard Permit
- ☐ Coastal Zone Management Certification
- ☐ Critical Area Ordinance Permit
- ☐ ESA and EFH Compliance
- ☐ Flood Plain Development Permit
- ☐ Forest Practice Act Permit
- ☐ Hydraulic Project Approval
- ☐ Local Building or Site Development Permits
- ☐ Local Clearing and Grubbing Permit
- ☐ National Historic Preservation Act-Section 106
- ☐ National Pollutant Discharge Elimination System Baseline General for Construction
- ☐ Shoreline Permit
- ☐ Solid Waste Discharge Permit
- ☐ Section 4(f) or 6(f) (Recreational and Historic Properties)
- ☐ Section 106 (Historic Properties)
- ☐ Stormwater Site Plan (SSP)
- ☐ Temporary Erosion and Sediment Control Plan (TESC)
- ☐ Water Rights Permit
- ☐ Water Quality Certification—Section 401
- ☐ Tribal Permits (if any, describe below)
- ☐ Other

Describe as applicable:

Submit two paper copies of this form, attachments, and a transmittal letter recommending a NEPA finding to the address below. Submit an electronic version to your area FTA Community Planner. Contact FTA at the number below if you are unsure who this is or if you need the email address. Modifications are typically necessary. When the document is approved, FTA may request additional copies.

Federal Transit Administration, Region 10  
915 2nd Avenue, Suite 3142  
Seattle, WA 98174-1002

phone: (206) 220-7954  
fax: (206) 220-7959

## Appendix: Topical guidance links

### Air Quality

[http://www.fhwa.dot.gov/environment/conformity/ref\\_guid/sectionf.htm](http://www.fhwa.dot.gov/environment/conformity/ref_guid/sectionf.htm)  
<http://www.epa.gov/oar/oaqps/greenbk/> for a listing of non-attainment areas.

### Coastal Zone Management

<http://www.ocrm.nos.noaa.gov/czm/czmsitelist.html> for a list of state programs.

### Cumulative and Indirect Impacts

[http://www.fhwa.dot.gov/environment/2nd\\_cml.htm](http://www.fhwa.dot.gov/environment/2nd_cml.htm)  
<http://environment.fhwa.dot.gov/guidebook/gaimpact.htm>

### Endangered Species Act and Consultation

[http://endangered.fws.gov/consultations/sec7\\_faq.html#2](http://endangered.fws.gov/consultations/sec7_faq.html#2) for frequently asked questions on the Endangered Species Act and the Section 7 Consultation process.

### Endangered Species List

This list must be less than 6 months old at the time the DCE documentation is submitted to FTA. If the list is older than 6 months, you must verify that there have been no changes to the list.

For species under the jurisdiction of NOAA-Fisheries, go to <http://www.nwr.noaa.gov/1salmon/salmesa/index.htm>, click on ESU Maps.

For species under the jurisdiction of USFWS, contact the nearest Ecological Services office. For a directory of USFWS offices, go to <http://offices.fws.gov/directory/>.

### Environmental Justice

<http://www.fta.dot.gov/office/planning/ep/subjarea/envjust.html>  
<http://www.fhwa.dot.gov/environment/ej2.htm>

### Farmlands

<http://www.info.usda.gov/nrcs/fpcp/fppa.htm>

### Floodplain

<http://www.fta.dot.gov/office/planning/ep/subjarea/water/fldplns.html>

### Hazardous Materials

<http://www.fta.dot.gov/office/planning/ep/subjarea/hazmat.html>

### Historic, Archaeological and Cultural Resources

<http://www.fta.dot.gov/office/planning/ep/subjarea/histcult.html>

### Magnuson-Stevens Fishery Conservation and Management Act

<http://www.nwr.noaa.gov/1habcon/habweb/efh/msa2.html>  
<http://www.nmfs.noaa.gov/sfa/magact>

### Navigable Waterways

<http://www.fta.dot.gov/office/planning/ep/subjarea/water/navwater.html>

## NEPA

<http://www.fhwa.dot.gov/legregs/directives/fapg/cfr0771.htm>

[http://ceq.eh.doe.gov/nepa/regs/ceq/toc\\_ceq.htm](http://ceq.eh.doe.gov/nepa/regs/ceq/toc_ceq.htm)

<http://environment.fhwa.dot.gov/guidebook/index.htm>

<http://www.fta.dot.gov/office/planning/ep/index.html>

## Noise and Vibration

<http://www.fta.dot.gov/office/planning/ep/subjarea/noisevibration.html>

## Property Acquisition

<http://www.fhwa.dot.gov/hep/49cfr24.htm>

## Tribal Consultation

<http://www.fhwa.dot.gov/environment/natvamrc/tcqa.htm>

## Section 4(f)

<http://www.fta.dot.gov/office/planning/ep/subjarea/parklands.html#Bckgrd>

<http://www.section4f.com/>

[http://www.fhwa.dot.gov/environment/4\\_f.htm](http://www.fhwa.dot.gov/environment/4_f.htm)

## Section 6(f)

<http://www.nps.gov/ncrc/programs/lwcf/protect.html>

## Sole Source Aquifer

<http://www.epa.gov/safewater/ssanp.html>

## Water Quality

<http://www.fta.dot.gov/office/planning/ep/subjarea/water/waterqual.html>